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**DECLARATION FOR UTILITY OR  
DESIGN  
PATENT APPLICATION  
(37 CFR 1.63)**

☐ Declaration  
Submitted  
with Initial  
Filing

OR

☒ Declaration  
Submitted after Initial  
Filing (surcharge  
(37 CFR 1.16 (e))  
required)

Attorney Docket Number

11321-P021US

First Named Inventor

Richard E. Smalley

**COMPLETE IF KNOWN**

Application Number

10/071,166

Filing Date

02/08/2002

Art Unit

1754

Examiner Name

Not yet assigned

As the below named inventor, I hereby declare that:

My residence, mailing address, and citizenship are as stated below next to my name.

I believe I am the original and first inventor of the subject matter which is claimed and for which a patent is sought on the invention entitled:

**GAS-PHASE PROCESS FOR PURIFYING SINGLE-WALL CARBON NANOTUBES AND  
COMPOSITIONS THEREOF**

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(Title of the Invention)

the specification of which



is attached hereto

OR



was filed on (MM/DD/YYYY)

02/08/2002

as United States Application Number or PCT International

Application Number

10/071,166

and was amended on (MM/DD/YYYY)

(if applicable).

I hereby state that I have reviewed and understand the contents of the above identified specification, including the claims, as amended by any amendment specifically referred to above.

I acknowledge the duty to disclose information which is material to patentability as defined in 37 CFR 1.56, including for continuation-in-part applications, material information which became available between the filing date of the prior application and the national or PCT international filing date of the continuation-in-part application.

I hereby claim foreign priority benefits under 35 U.S.C. 119(a)-(d) or (f), or 365(b) of any foreign application(s) for patent, inventor's or plant breeder's rights certificate(s), or 365(a) of any PCT international application which designated at least one country other than the United States of America, listed below and have also identified below, by checking the box, any foreign application for patent, inventor's or plant breeder's rights certificate(s), or any PCT international application having a filing date before that of the application on which priority is claimed.

Prior Foreign Application Number(s)	Country	Foreign Filing Date (MM/DD/YYYY)	Priority Not Claimed	Certified Copy Attached?	
				YES	NO
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

☐ Additional foreign application numbers are listed on a supplemental priority data sheet PTO/SB/02B attached hereto:

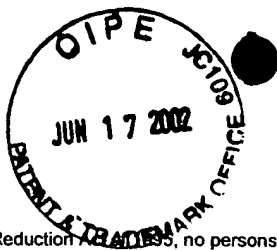
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Dallas <b>City</b>		Texas <b>State</b>	75250-0784 <b>ZIP</b>
US <b>Country</b>	512.370.2870 <b>Telephone</b>		214.745.5390 <b>Fax</b>
I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under 18 U.S.C. 1001 and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.			
<b>NAME OF SOLE OR FIRST INVENTOR :</b>		<input type="checkbox"/> A petition has been filed for this unsigned inventor	
Given Name Richard E. (first and middle [if any])		Family Name SMALLEY or Surname	
Inventor's Signature		Date 5/8/02	
Houston <b>Residence: City</b>	Texas <b>State</b>	US <b>Country</b>	US <b>Citizenship</b>
Mailing Address 1816 Bolsover Street			
Houston <b>City</b>	Texas <b>State</b>	77005 <b>ZIP</b>	US <b>Country</b>
<b>NAME OF SECOND INVENTOR:</b>		<input type="checkbox"/> A petition has been filed for this unsigned inventor	
Given Name Robert H. (first and middle [if any])		Family Name HAUGE or Surname	
Inventor's Signature		Date	
Houston <b>Residence: City</b>	Texas <b>State</b>	US <b>Country</b>	US <b>Citizenship</b>
Mailing Address 4031 Turnberry Circle			
Houston <b>City</b>	Texas <b>State</b>	77025 <b>ZIP</b>	US <b>Country</b>
<input checked="" type="checkbox"/> Additional inventors are being named on the <u>2</u> supplemental Additional Inventor(s) sheet(s) PTO/SB/02A attached hereto.			



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## DECLARATION

ADDITIONAL INVENTOR(S)  
Supplemental Sheet  
Page 3 of 4

Name of Additional Joint Inventor, if any:

☐ A petition has been filed for this unsigned inventor

Wan-Ting  
Given Name

CHIANG  
Family Name  
or Surname

Inventor's  
Signature

05-02-02  
Date

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State

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74602  
ZIP

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Name of Additional Joint Inventor, if any:

☐ A petition has been filed for this unsigned inventor

Yuemi  
Given Name

YANG  
Family Name  
or Surname

Inventor's  
Signature

Date

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Residence: City

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Citizenship

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Name of Additional Joint Inventor, if any:

☐ A petition has been filed for this unsigned inventor

Kenneth A.  
Given Name

SMITH  
Family Name  
or Surname

Inventor's  
Signature

Date

Houston  
Residence: City

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State

US  
Country

US  
Citizenship

11322 Birdwing Lane  
Mailing Address

Mailing Address

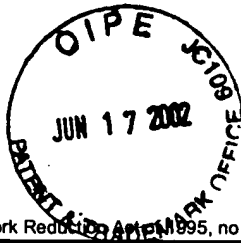
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City

TX  
State

77067  
ZIP

US  
Country

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## DECLARATION

ADDITIONAL INVENTOR(S)  
Supplemental Sheet  
Page 3 of 4

Name of Additional Joint Inventor, if any:		<input type="checkbox"/> A petition has been filed for this unsigned inventor	
Wan-Ting Given Name		CHIANG Family Name or Surname	
Inventor's Signature		Date	
Ponca City Residence: City	OK State	US Country	Taiwan Citizenship
RW 6654 Mailing Address			
1000 S. Pine Street Mailing Address			
Ponca City City	OK State	74602 ZIP	US Country
Name of Additional Joint Inventor, if any:		<input type="checkbox"/> A petition has been filed for this unsigned inventor	
Yuemei Given Name		YANG Family Name or Surname	
Inv ntor's Signature <i>Yuemei</i>		Date 5/9/2002	
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Houston City	TX State	77005 ZIP	US Country
Name of Additional Joint Inventor, if any:		<input type="checkbox"/> A petition has been filed for this unsigned inventor	
Kenneth A. Given Name		SMITH Family Name or Surname	
Inventor's Signature		Date	
Houston Residence: City	TX State	US Country	US Citizenship
11322 Birdwing Lane Mailing Address			
Mailing Address			
Houston City	TX State	77067 ZIP	US Country

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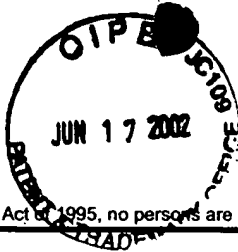
## ADDITIONAL INVENTOR(S)

Supplemental Sheet

Page 4 of 4

Name of Additional Joint Inventor, if any:		<input type="checkbox"/> A petition has been filed for this unsigned inventor	
Iven Name: Wilbur Carter		Family Name or Surname: KITTRELL	
Inventor's Signature: <i>Wilbur Carter Kittrell</i>		Date: 6/6/02	
Residence: City: Houston	State: TX	Country: US	Citizenship: US
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Mailing Address:			
City: Houston	State: TX	ZIP: 77030	Country: US
Name of Additional Joint Inventor, if any:		<input type="checkbox"/> A petition has been filed for this unsigned inventor	
Iven Name: Zhenning		Family Name or Surname: GU	
Inventor's Signature:		Date:	
Residence: City: Houston	State: TX	Country: US	Citizenship: China
Mailing Address: 1515 Bissonnet St., Apt. 151			
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City: Houston	State: TX	ZIP: 77005	Country: US
Name of Additional Joint Inventor, if any:		<input type="checkbox"/> A petition has been filed for this unsigned inventor	
Given Name:		Family Name or Surname:	
Inventor's Signature:		Date:	
Residence: City:	State:	Country:	Citizenship:
Mailing Address:			
Mailing Address:			
City:	State:	ZIP:	Country:

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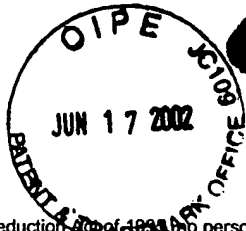
## ADDITIONAL INVENTOR(S)

Suppl mental Sh t

Page 4 of 4

Name of Additional Joint Inventor, if any:		<input type="checkbox"/> A petition has been filed for this unsigned inventor	
Given Name Wilber Carter		Family Name or Surname KITTRELL	
Inventor's Signature		Date	
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City Houston	State TX	ZIP 77030	Country US
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Inventor's Signature <i>Zhenning Gu</i>		Date 05/02/2002	
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Name of Additional Joint Inventor, if any:		<input type="checkbox"/> A petition has been filed for this unsigned inventor	
Given Name		Family Name or Surname	
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CHIANG

Family Name  
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NAME OF SOLE OR FIRST INVENTOR : ☐ A petition has been filed for this unsigned inventorGiven Name Richard E.  
(first and middle [if any])Family Name SMALLEY  
or SurnameInventor's  
Signature

Date

Houston Texas US US  
Residence: City State Country Citizenship

Mailing Address 1816 Bolsover Street

Houston Texas 77005 US  
City State ZIP CountryNAME OF SECOND INVENTOR: ☐ A petition has been filed for this unsigned inventorGiven Name Robert H.  
(first and middle [if any])Family Name HAUGE  
or SurnameInventor's  
Signature

Date

Houston Texas US US  
Residence: City State Country Citizenship

Mailing Address 4031 Turnberry Circle

Houston Texas 77025 US  
City State ZIP Country☒ Additional inventors are being named on the 2 supplemental Additional Inventor(s) sheet(s) PTO/SB/02A attached hereto.